



2164

PTO/SB/21 (05-03)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

| | |
|------------------------|--------------------|
| Application Number | 09/963,241 |
| Filing Date | September 26, 2001 |
| First Named Inventor | Charles MULINDER |
| Art Unit | 2164 |
| Examiner Name | |
| Attorney Docket Number | 74577-021 |

Total Number of Pages in This Submission

4

ENCLOSURES (Check all that apply)

| | | |
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| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) (Sheets) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Revocation of Power of Attorney 2. Statement Under 37 CFR 3.73(b) 3. Return Receipt Postcard |
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Remarks

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GROUP 3600**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

| | |
|-------------------------|--|
| Firm or Individual name | John C. Stellabotte, Reg. No. 47,969 Proskauer Rose LLP |
| Signature | <i>John C. Stellabotte</i> |
| Date | June 26, 2003 |

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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| Typed or printed name | Alexander Migirov | | |
| Signature | <i>Alexander Migirov</i> | Date | June 26, 2003 |

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#5/PWA 8-2303
PTO/SB/81 (09-09)
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POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

| | |
|------------------------|--------------------------|
| Application Number | 09/963,241 |
| Filing Date | September 26, 2001 |
| First Named Inventor | Charles MULINDER |
| Title | REAL-TIME TRADING SYSTEM |
| Art Unit | 2164 |
| Examiner Name | |
| Attorney Docket Number | 74577-021 |

I hereby appoint:

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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name **Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch**

Signature

Date

6-20-07

Telephone

203.719.3099

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.

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PTO/SB/82 (05-03)

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**REVOCATION OF POWER OF
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| | |
|------------------------|--------------------|
| Application Number | 09/963,241 |
| Filing Date | September 26, 2001 |
| First Named Inventor | Charles MULINDER |
| Art Unit | 2164 |
| Examiner Name | |
| Attorney Docket Number | 74577-021 |

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

☒ A power of Attorney or Authorization of Agent is submitted herewith.**RECEIVED**

OR

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I am the:

☐ Applicant/Inventor.☒ Assignee of record of the entire interest. See 37 CFR 3.71.
*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)***SIGNATURE of Applicant or Assignee of Record**

| | | | |
|-----------|---|-----------|--------------|
| Name | Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch | | |
| Signature | | | |
| Date | 6-20-03 | Telephone | 203.719.3099 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ *Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Charles MULINDER, et al.Application No./Patent No.: 09/963,241 Filed/Issue Date: September 26, 2001Entitled: REAL-TIME TRADING SYSTEMUBS AG, a CORPORATION
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above to the current assignee as shown below:1. From: Charles MULINDER, et al. To: UBS AG GROUP 3600
The document was recorded in the United States Patent and Trademark Office at
Reel 012531, Frame 0696, or for which a copy thereof is attached.2. From: _____ To: _____
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Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6-20-03
Date
203.719.3099
Telephone numberGregg I. Goldman
Typed or printed name
[Signature]
Signature
Director and Counsel
Title

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